IDAPA 11 TITLE 03 CHAPTER 01

IDAHO STATE FORENSIC LABORATORY

11.03.01 - RULES GOVERNING ALCOHOL TESTING

000. LEGAL AUTHORITY.

The Director of the Idaho State Police has general rulemaking authority to prescribe rules and regulations for alcohol testing, pursuant to Section 67-2901, Idaho Code. (4-7-11)

001. TITLE AND SCOPE.

- **01. Title.** These rules shall be cited as IDAPA 11.03.01, "Rules Governing Alcohol Testing." (4-7-11)
- **Scope**. The rules relate to the governance and operation of the Alcohol Testing Program. (4-7-11)

002. WRITTEN INTERPRETATIONS.

There are no written interpretations of this rule.

(4-7-11)

003. ADMINISTRATIVE APPEALS.

There is no provision for administrative appeals before the Idaho State Police under this chapter.

(4-7-11)

004. INCORPORATION BY REFERENCE.

The following are incorporated by reference in this chapter of rules:

(4-7-11)

01. Conforming Products List of Evidential Breath Measurement Devices (revised 3/11/2010). This document is available on the internet at http://edocket.access.gpo.gov/2010/pdf/2010-5242.pdf. (4-7-11)

005. MAILING ADDRESS AND OFFICE HOURS.

The mailing address is Idaho State Police, Forensic Services, 700 S. Stratford Drive Suite 125, Meridian, ID 83642-6206. Lobby hours are Monday through Friday, 8 a.m. to 5:00 p.m. except holidays designated by the state of Idaho.

006. PUBLIC RECORDS AVAILABILITY.

This rule is subject to and in compliance with the Public Records Act.

(4-7-11)

007. WEBSITE.

Alcohol Testing information is available on the internet at http://www.isp.idaho.gov/forensics/index.html. (9-2-14)

008. -- 009. (RESERVED)

010. DEFINITIONS AND ABBREVIATIONS.

- **01. Alcohol**. "Alcohol" shall mean the chemical compounds of ethyl alcohol, methyl alcohol, or isopropyl alcohol. (9-2-14)
- <u>**02.**</u> <u>Approved Vendor.</u> "Approved vendor" shall mean a source/provider/manufacturer of an approved standard. (9-2-14)
- **Q2.03. Blood Alcohol Analysis**. "Blood alcohol analysis" shall mean an analysis of blood to determine the concentration of alcohol present. (9-2-14)

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- **03. 04. Breath Alcohol Analysis**. "Breath alcohol analysis" shall mean an analysis of breath to determine the concentration of alcohol present. (9-2-14)
- <u>05.</u> <u>Breath Alcohol Test.</u> "Breath alcohol test" shall mean a breath sample or series of separate breath samples provided during a breath testing sequence. (9-2-14)
- <u>06.</u> <u>Breath Alcohol Testing Sequence</u>. "Breath alcohol testing sequence" shall mean a sequence of events as determined by the Idaho State Police Forensic Services, which may be directed by the instrument, the Operator, or both, and may consist of air blanks, performance verification, internal standard checks, and breath samples.

 (9-2-14)
- <u>07.</u> <u>Breath Testing Certification Class.</u> "Breath testing certification class" shall mean a department approved training class for prospective or uncertified breath alcohol Operators/Breath Testing Specialists.

<u>(9-2-14</u>

- <u>08.</u> <u>Breath Testing Specialist (BTS)</u>. "Breath Testing Specialist" shall mean an operator who has completed advanced training approved by the department and are certified to perform routine instrument maintenance, teach instrument operation skills, proctor proficiency tests for instrument Operators, and testifying as an expert on alcohol physiology and instrument function in court.

 (9-2-14)
- <u>O9.</u> <u>Calibration</u>. "Calibration" shall mean a set of laboratory operations which establish under specified conditions, the relationship between values indicated by a measuring instrument or measuring system, or values represented by a material, and the corresponding known values of a measurement. (9-2-14)
- <u>10.</u> <u>Certificate of Analysis. "Certificate of analysis" shall mean a certificate stating the standards used for performance verification have been tested and approved for use by the ISPFS or are manufactured by an ISO 17025:2005 vendor and are traceable to N.I.S.T. standards. (9-2-14)</u>
- 11. Certificate of Instrument Calibration. "Certificate of instrument calibration" shall mean a certificate stating that an individual breath alcohol testing instrument has been evaluated by the ISPFS and found to be suitable for forensic alcohol testing. The certificate bears the signature of the calibration analyst at Idaho State Police Forensic Services, and the effective date of the instrument approval.

 (9-2-14)
- 12. Changeover Class. "Changeover class" shall mean a training class for currently certified Operators during which the Operator is taught theory, operation, and proper testing procedure for a new make or model of instrument being adopted by their agency. Breath Testing Specialists complete BTS training that qualifies them to perform BTS duties related to the new make or model instrument.

 (9-2-14)
 - **04. 13. Department**. "Department" shall mean the Idaho State Police.

<u>(9-2-14)</u>

- <u>14.</u> <u>Evidentiary Test.</u> "Evidentiary test" shall mean a blood, breath, or urine test performed on a subject/individual for potential evidentiary or legal purposes. A distinction is made between evidentiary testing and non-quantitative screening/monitoring. (9-2-14)
- <u>15.</u> <u>Idaho State Police Forensic Services (ISPFS)</u>. "Idaho State Police Forensic Services" shall mean a division of the Idaho State Police. ISPFS is dedicated to providing forensic science services to the criminal justice system of Idaho. ISPFS is the administrative body for the blood and breath alcohol testing programs in Idaho. (9-2-14)
- **95.** <u>16.</u> **Laboratory**. "Laboratory" shall mean the place at which specialized devices, instruments and methods are used by trained personnel to measure the concentration of alcohol in samples of blood, <u>vitreous humor</u>, urine, or <u>beverages</u> for law enforcement purposes.

 (9-2-14)
- <u>MIP/MIC.</u> "MIP/MIC" shall mean an abbreviation used to designate minor in possession or minor in consumption of alcohol. (9-2-14)

- 18. Operator Certification. "Operator certification" shall mean the condition of having satisfied the training requirements for administering breath alcohol tests as established by the department. (9-2-14)
- 19. Operator. "Operator" shall mean an individual certified by the department as qualified by training to administer breath alcohol tests. (9-2-14)
- **20. Performance Verification**. "Performance verification" shall mean a verification of the accuracy of the breath testing instrument utilizing a performance verification standard. Performance verification should be reported to three decimal places. While ISPFS uses the term performance verification, manufacturers and others may use a term such as "calibration check" or "simulator check." (9-2-14)
- 21. Performance Verification Standard. "Performance verification standard" shall mean an ethyl alcohol standard used for field performance verifications. The standard is provided by and/or approved by the department.

 (9-2-14)
- **06.** 22. **Proficiency Testing**. "Proficiency testing" shall mean a periodic analysis of <u>blood</u>, <u>urine</u>, <u>or other liquid</u> specimen(s) whose alcohol content is unknown to the testing laboratory, to evaluate the capability of that laboratory to perform accurate analysis for alcohol concentration.

 (9-2-14)
- **Quality Control**. "Quality control" shall mean an analysis of referenced samples whose alcohol content is known, which is performed with each batch of blood, <u>vitreous humor</u>, urine, or <u>beverage</u> analysis to ensure that the laboratory's determination of alcohol concentration is reproducible and accurate. (9-2-14)
- **24.** Recertification Class. "Recertification class" shall mean a training class offered by the department for currently certified personnel, completion of which results in uninterrupted continuation of their BTO or BTS status for an additional 2 years.

 (9-2-14)
- **98. 25. Urine Alcohol Analysis**. "Urine alcohol analysis" shall mean an analysis of urine to determine the concentration of alcohol present. (9-2-14)
- 26. Waiting Period/Monitoring Period/Deprivation Period/Observation Period. "Waiting Period/Monitoring Period/Deprivation Period/Observation Period" shall mean individual titles used for the time period prior to administering a breath alcohol test, in which an officer monitors the test subject/individual. (9-2-14)

011. ABBREVIATIONS (RESERVED)

There are no abbreviations or acronyms in this chapter.

(9-2-14)

012. GENERAL PROVISIONS.

- **01. Repeal of Prior Rules**. All rules governing the Idaho State Forensic Laboratory are repealed, specifically Idaho State Police Emergency Rules 11.03.1, 11.03.2, 11.03.3, 11.03.4, 11.03.5 and 11.03.6. (7-1-93)
- **02. Continuation of Policies**. All policies, training manuals, approvals of instruments, and/or certifications of officers in effect when the alcohol program was managed by the Department of Health and Welfare shall continue to be in effect in the Idaho State Police until the policy, training manual, approval and/or certification is changed or deleted by the Idaho State Police. (7-1-93)

013. REQUIREMENTS FOR LABORATORY ALCOHOL ANALYSIS.

- **01. Laboratory**. Any laboratory desiring to perform urine alcohol, vitreous humor, or blood alcohol, or beverage analysis shall meet the following standards: (9-2-14)
- **a.** The laboratory shall prepare and maintain a written procedure governing its method of analysis, including guidelines for quality control and proficiency testing. A copy of the procedure shall be provided to ISPFS

for initial approval. Whenever procedure, protocol, or method changes (however named) are adopted by a laboratory, a copy of the update with the changes clearly indicated shall be approved by ISPFS before implementation;

(9-2-14)

- b. The laboratory shall provide adequate facilities and space for the procedure used. The laboratory alcohol related functions shall be subject to an assessment by either an accrediting body or the department each calendar year, and the results from the annual audit shall be submitted to the department. The assessment shall be at the expense of the laboratory;

 (9-2-14)
- c. Specimens shall be maintained in a <u>limited access and</u> secure storage area prior to analysis. A chain of custody shall be maintained while the evidence is in the laboratory; (9-2-14)
- **d.** All <u>instrumentation</u>, equipment, reagents and glassware necessary for the performance of the chosen procedure shall be on hand or readily available on the laboratory premises. <u>Instrument maintenance</u> documentation shall be available for review by the department; (9-2-14)
- The laboratory shall participate in approved proficiency testing and pass this proficiency testing according to standards set by the department. Laboratories must participate in proficiency testing from a department approved provider at least once a calendar year. Approved providers include National Highway Transportation Safety Administration (NHTSA) and Collaborative Testing Services (CTS). Each test consists of at least four blood samples spiked with an unknown concentration of ethyl alcohol and possibly other volatiles for qualitative determination. Participating laboratories must obtain proficiency tests from approved providers and are responsible for all costs associated with obtaining and analyzing such tests. Results from proficiency tests must be submitted by the due date to the test provider and ISPFS. Results not submitted to a test provider within the allowed time do not qualify as a proficiency test. An alcohol concentration range is determined from the target value and ±3.0 standard deviations as provided by the proficiency test provider. Reported values must fall within this range. If a laboratory determines more than one alcohol value for a given sample, the mean value of results will be submitted and evaluated. Upon satisfactory completion of an approved proficiency test, a certificate of approval will be issued by the department to the participating laboratory. Approval to perform legal blood alcohol determinations is continued until the results of the next proficiency test are reviewed and notification is sent to the respective laboratory by ISPFS. Failure to pass a proficiency test shall result in immediate suspension of testing by an analyst or laboratory in the form of a written inquiry from the department. The test is graded as a unsuccessful when the mean results are outside the tolerance range established from the accepted mean values. The laboratory shall have thirty (30) calendar days to respond to the department inquiry. The department shall notify the laboratory within fourteen (14) calendar days regarding corrective action steps necessary to lift the testing suspension, or the department may issue a written revocation. The department shall not lift a proficiency testing related suspension or revocation until a successful proficiency test has been completed by the individual analyst or laboratory. disapproval until the problem is corrected and a proficiency test is successfully completed:
- f. For a laboratory performing blood, or urine, vitreous humor, or beverage analysis for alcohol analysis, approval shall be awarded to the laboratory director or primary analyst responsible for that laboratory. The responsibility for the correct performance of tests in that laboratory rests with that person; however, the duty of performing such tests may be delegated to any person designated by such director or primary analyst. The department may temporarily suspend or permanently revoke the approval of a laboratory or analyst if the listed requirements are not met. The department will issue the suspension or revocation in writing to the laboratory director or primary analyst responsible;

 (9-2-14)
- g. Urine samples shall be collected in clean, dry containers. Reinstatement after revocation requires completed corrective action of any items listed on the revocation documentation issued by the department. Documentation of corrective actions taken to address the nonconformities shall be submitted to the department for review. Once the department is satisfied that the laboratory is in compliance with all requirements, the department will issue written approval for the resumption of testing by that laboratory or analyst. A laboratory may appeal a suspension or revocation to the Director of the department.

 (9-2-14)
- **O2. Blood Collection**. Blood collection shall be accomplished according to the following requirements: (7-1-93)

- **a.** Blood samples shall be collected using sterile, dry syringes and hypodermic needles, or other equipment of equivalent sterility; (7-1-93)
- **b.** The skin at the area of puncture shall be cleansed thoroughly and disinfected with an aqueous solution of a nonvolatile antiseptic. Alcohol or phenolic solutions shall not be used as a skin antiseptic; (7-1-93)
- **c.** Blood specimens shall contain at least ten (10) milligrams of sodium fluoride per cubic centimeter of blood plus an appropriate anticoagulant. (4-4-13)
- **03.** <u>Blood Reported.</u> Results. The results of analysis on blood for alcohol concentration shall be reported in units of grams of alcohol per one hundred (100) cubic centimeters of whole blood. (9-2-14)
 - **04. Urine Collection.** Urine samples shall be collected in clean, dry containers. (9-2-14)
- <u>05.</u> <u>Urine Reported.</u> The results of analysis on urine for alcohol concentration shall be reported in units of grams of alcohol per sixty-seven (67) milliliters of urine. Results of alcohol analysis of urine specimens shall be accompanied by a warning statement about the questionable value of urine alcohol results. (9-2-14)
- **05. 06. Records**. All records regarding proficiency tests, quality control and results shall be retained for three (3) years. (9-2-14)

014. REQUIREMENTS FOR PERFORMING BREATH ALCOHOL TESTING.

- **O1. Instruments**. Each breath testing instrument model shall be approved by the department and shall be listed in the "Conforming Products List of Evidential Breath Measurement Devices" published in the Federal Register by the United States Department of Transportation as incorporated by reference in section 004 of this rule. The department will maintain a list of benchtop and portable instruments approved for evidentiary testing use in Idaho. Each individual breath testing instrument must be certified by the department. The department may, for cause, remove a specific instrument by serial number from evidential testing and suspend or withdraw certification thereof.
- **02. Report**. Each direct breath testing instrument shall report alcohol concentration as grams of alcohol per two hundred ten (210) liters of breath. (7-1-93)
- **O3.** Administration. Breath tests shall be administered in conformity with standards established by the department. Standards shall be developed for each type of breath testing instrument used in Idaho, and such standards shall be issued in the form of <u>Idaho Administrative Rules, ISPFS</u> analytical methods, and <u>ISPFS</u> standard operating procedures.

 (9-2-14)
- a. The breath alcohol test must be administered by an operator (BTO or BTS) currently certified in the use of the instrument. (9-2-14)
- b. Prior to administering the observation period, any foreign objects/materials which have the potential to enter the instrument/breath tube or may present a choking hazard should be removed. If a foreign object/material (e.g. dental work, gum, chewing tobacco, food, piercing) is left in the mouth during the entirety of the fifteen (15) minute monitoring period, any potential external alcohol contamination should not interfere with the results of the subsequent breath alcohol tests.

 (9-2-14)
- c. Prior to evidentiary breath alcohol testing, the subject/individual should be observed for fifteen (15) minutes. The operator should be alert for any event that might influence the accuracy of the breath alcohol test.

 During the observation period the subject/individual should not be allowed to smoke, drink, eat, or belch/burp/vomit/regurgitate. (9-2-14)
- d. <u>If mouth alcohol is suspected or indicated by the testing instrument, the operator should begin another fifteen (15) minute observation period before repeating the testing sequence. If during the observation period the subject/individual vomits or regurgitates material from the stomach into the breath pathway, the observation period should start over. If there is doubt as to the events occurring during the observation period (e.g.</u>

silent burp, belch, vomit, regurgitation), the officer should evaluate the instrument results for any indication of mouth alcohol.

(9-2-14)

- e. A complete breath alcohol test includes two (2) valid breath samples taken during the testing procedure and preceded by air blanks. The subsequent breath samples performed with a portable breath testing instrument should be approximately two (2) minutes apart or more. If the subject/individual fails or refuses to provide a subsequent, adequate sample as requested by the Operator, the single test result shall be considered valid. If only a single test result is used, then a fifteen (15) minute observation period must be observed. For hygienic reasons, the operator should use a new mouthpiece for each series of tests.
- f. The operator has the discretion to end breath testing, repeat breath testing, or request a blood draw at any point during the testing process as the circumstances require (including but not limited to lack of sample correlation, lack of subject participation or cooperation, subject is incoherent or incapable of following instructions, subject incapacitation). If a subject/individual fails or refuses to provide a subsequent, adequate sample as requested by the operator, the results obtained are still considered valid, provided the failure to supply the requested samples was the fault of the subject/individual and not the operator.

 (9-2-14)
- g. A third breath sample should be collected if the first two results differ by more than 0.02 g/210L alcohol. Unless mouth alcohol is indicated or suspected, it is not necessary to repeat the observation period prior to obtaining a third breath sample.

 (9-2-14)
- h. The results for subsequent breath samples should correlate within 0.02 g/210L alcohol to show consistent sample delivery, indicate the absence of RFI, and to indicate the absence of alcohol contamination in the subject/individual's breath pathway as a contributing factor to the breath results. (9-2-14)
- i. <u>In the event of an instrument failure, the operator should attempt to utilize another instrument or have blood drawn.</u> (9-2-14)
- **O4. Training**. Each individual operator (BTO or BTS) shall demonstrate that he has sufficient training to operate the instrument correctly. This shall be accomplished by successfully completing a training course approved by the department on each instrument model utilized by the operator. Officers must retrain periodically as required by the department. Operator certifications issued after July 1, 2013 are valid for two calendar years from the course completion date. The department may revoke individual operator (BTO/BTS) certification for cause.

(9-2-14)

- **Performance Verification** Checks. Each breath testing instrument shall be checked on a schedule established by the Department for accuracy with a simulator solution provided by or performance verification standard approved by the department. These Performance verification checks shall be performed according to a procedure established by the department and shall be documented. The official time and date of the performance verification is the time and date recorded on the printout, or the time and date recorded in the log. (9-2-14)
 - a. A performance verification check shall occur within twenty-four (24) hours before or after an evidentiary test. The benchtop instrument requires a performance verification check as part of the testing sequence. On the portable instrument multiple breath alcohol tests may be covered by a single performance verification.

 (9-2-14)
 - b. A performance verification on a portable instrument consists of two (2) samples at either the 0.08 or 0.20 level. Both samples must be run with the same performance verification standard. Three attempts at obtaining an acceptable performance verification are allowed. Troubleshooting measures may be employed during this process. If the third performance verification fails, the instrument shall be taken out of service. The instrument shall not be returned to service until it has been calibrated and certified by ISPFS.

 (9-2-14)
 - c. A performance verification acquired during a breath testing sequence on an approved **benchtop** instrument consists of one (1) sample at either the 0.08 or 0.20 level. A performance verification acquired outside the breath testing sequence on an approved benchtop instrument consists of two

- (2) samples at either the 0.08 or 0.20 level. Three attempts at obtaining an acceptable performance verification are allowed. Troubleshooting measures may be employed during this process. If the third performance verification fails, the instrument must be taken out of service. The instrument must not be returned to service until it has been calibrated and certified by ISPFS. (9-2-14)
- d. <u>Performance verification checks must be within +/- 10% of the performance verification standard target value.</u> (9-2-14)
- e. A wet bath 0.08 performance verification standard should be replaced with fresh standard approximately every 25 verifications or every calendar month, whichever comes first. For a closed loop, recirculating system (e.g. the Intox 5000 series), the 0.08 performance verification standard should be replaced with fresh standard approximately every 100 verifications or every calendar month, whichever comes first.

 (9-2-14)
- f. A wet bath 0.20 performance verification standard should be replaced with fresh standard approximately every 25 verifications. (9-2-14)
- g. <u>Dry gas performance verification standards may be used continuously without replacement until the canister is spent.</u> (9-2-14)
- h. <u>Performance verification standards should not be used beyond the expiration date.</u> (9-2-14)
- i. If Idaho Code 18-8004C (excessive alcohol concentration) is applicable, then a 0.20 performance verification must be run and results documented once per calendar month. Failure to perform a 0.20 performance verification will not invalidate any tests where 18-8004C is not applicable. A performance verification with a 0.20 standard does not need to be performed within twenty-four (24) hours of an evidentiary breath test in excess of 0.20 g/210L alcohol. (9-2-14)
- j. Temperature of the wet bath simulator shall be between 33.5°C and 34.5°C in order for the performance verification results to be valid. (9-2-14)
- k. An agency may run additional performance verification standard levels at their discretion. (9-2-14)
- **Quantification Records.** Operators must document and retain test results (i.e. written log, printout, or electronic database). All records regarding maintenance and results shall be retained for three (3) years. ISPFS is not responsible for storage of documentation not generated by ISPFS.

 (9-2-14)
- **07. Deficiencies.** Failure to meet any of the conditions listed in Sections 013 and 014. Any laboratory or breath testing instrument may be disapproved for failure to meet one (1) or more of the requirements listed in Sections 013 and 014, and approval may be withheld until the deficiency is corrected. (4-7-11)
- <u>08.</u> <u>Standards. Premixed alcohol simulator solutions shall be from an approved vendor and explicitly approved in writing by the department before distribution within Idaho. Dry gas standards from ISO 17025:2005 certified providers are explicitly approved by the department for use in Idaho without evaluation by the department.

 (9-2-14)</u>
- MIP/MIC case. The instrumentation used in obtaining the breath sample is often the same instrumentation utilized for acquiring DUI evidence. The different standard of evidence requires different standards for the procedure.

 (9-2-14)
 - a. <u>Fifteen (15) minute observation period: The monitoring/observation period is not required for the MIP/MIC procedure.</u> (9-2-14)
 - b. The breath alcohol test must be administered by an operator currently certified in the use of that instrument. (9-2-14)

- c. The instrument used must be certified by ISPFS. The instrument only needs to be initially certified by ISPFS. Initial certification shows that the instrument responds to alcohols and not to acetone.

 The instrument does not need to be checked regularly or periodically with any of the 0.08 or 0.20 standard.

 (9-2-14)
- d. The officer should have the individual being tested remove all loose foreign material from their mouth before testing. False teeth, partial plates, or bridges installed or prescribed by a dentist or physician do not need to be removed to obtain a valid test. The officer may allow the individual to briefly rinse their mouth out with water prior to the breath testing. Any alcohol containing material left in the mouth during the entirety of the breath test sampling could contribute to the results in the breath testing sequence.

 (9-2-14)
- e. A complete breath alcohol test includes two (2) valid breath samples taken from the subject and preceded by an air blank. The subsequent breath samples do not need to be consecutive samples from the same subject. The individual breath samples should be approximately two (2) minutes apart or more. A deficient or insufficient sample does not automatically invalidate a test sample. The operator should use a new mouthpiece for each individual. (9-2-14)
- f. A third breath sample is required if the first two results differ by more than 0.02 g/210L alcohol. In the event that all three samples fall outside the 0.02 g/210L alcohol correlation, and testing indicates or the officer suspects mouth alcohol, they must administer a fifteen (15) minute observation period and then retest the subject. If mouth alcohol is not suspected or indicated by the test results, then the officer may retest the subject without administering an observation period.

 (9-2-14)
- g. The operator should manually log test results and/or retain printouts for possible use in court.

 (9-2-14)
- h. The instrument must not be in passive mode for the testing of subjects for evidential purposes.

 (9-2-14)
- i. The passive mode of testing using the Lifeloc FC20 or ASIII should be used for testing liquids or containers of liquid for the presence or absence of alcohol.

(9-2-14)

015. -- 999. (RESERVED)